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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF : David G. Bell, et al.

TITLE : **SYSTEMS AND METHODS FOR  
DISTRIBUTED ADMINISTRATION OF  
PUBLIC AND PRIVATE ELECTRONIC  
MARKETS**

SERIAL NO. : 10/042,963

FILED : January 9, 2002

EXAMINER : Unknown

ART UNIT : 2131

LAST OFFICE ACTION : None

ATTORNEY DOCKET NO. : D/A1057  
XER 2 0440

March 4, 2002  
Cleveland, Ohio 44114-2518

Assistant Commissioner for Patents  
Washington, DC 20231

**PRELIMINARY AMENDMENT**

Dear Sir:

Prior to substantive examination of the above-referenced patent application, applicants respectfully request amendment of the application as follows:

Set forth below is a clean set of all amendments to the specification and the claims. The actual amendments to the specification and claims are shown in the attachment.

**In the Specification**

Please substitute the following amended paragraphs [0018]-[0023] for paragraphs [0018]-[0023] on page 4, as follows:

0018-0023

[0018] FIGURES 8 and 9 depict the license/usage flow in accordance with the present invention;

[0019] FIGURE 10 depicts the usage flow when the electronic content is obtained from within the server network or from a third-party client;

[0020] FIGURE 11 provides a overview for a system which permits the use of paper as an interface to electronic markets with usage permissions, for both specification of usage permissions and for managing usage of content including payment once usage permissions are established;

[0021] FIGURE 12 sets forth a paper interface to an electronic market in accordance with a concept of the present invention; and

[0022] Shown in FIGURE 13 is a token for use in the present system.

Please substitute the following amended paragraphs [0051]-[0052] for paragraphs [0051]-[0052] on page 13, as follows:

[0051] Once the market has been created, embodiments of the present invention then permit a buyer (*i.e.*, another user of the community) having the appropriate permissions and/or licenses to access the digital content. The operation of the license/usage flow 200 according to an embodiment of the present invention is illustrated in FIGURES 8 and 9.

[0052] As a first step in the process flow of FIGURE 8, a user (buyer) logs onto a server of the present system 202. Once logged on, the user requests access to a market 204. The market will have been created and formed by another user (*i.e.*, marketmaker) of the community of users. The flow of authoring or creating the market was discussed in detail in connection with FIGURE 7. Upon requesting access in step 204, the process moves to a decision step 206. At the decision step, a system server is interrogated to determine whether that user has access permissions for the particular market requested 206. If it is determined such access permissions do not exist, access will be denied 208. For example, when the user requests access to market A, the server will upload or review a matrix file such as discussed previously in connection with FIGURE 3. If the user is included in the user/group section and has permission to have access to the market, then the process moves to step 210 where each electronic content in that market is checked to

determine whether that particular user has access permissions to view the existence of that content. If no access permissions are available for a particular content, then that item will not be displayed 212. However, if access permissions for a particular content does exist, the process displays a representation 214 of that content, such as in the form of an icon.

Please substitute the following amended paragraph [0054] for paragraph [0054] on page 14, as follows:

[0054] With continued attention to the flow of FIGURES 8 and 9, once an icon 214 is displayed, the user may select the icon by clicking on it with a computer mouse or other input device 216. Selection of the icon in step 216 moves the process to a decision block step 218, where a second check of access permissions for the selected file is again undertaken.

Please substitute the following amended paragraph [0057] for paragraph [0057] on page 15, as follows:

[0057] Returning to FIGURES 8 and 9, the user is presented with an option to pay the required usage fee 226. Not paying the usage fee ends the process and denies access to the content 228. Upon selection (such as selecting proceed button 82 of FIGURE 5), the fee will be charged 230 to an account of the user. Creating accounts where a user may be charged for purchases, etc. is very well known in the art. This also is simply one embodiment, as alternative embodiments may not show fees, especially in cases where the usage is controlled with no fees.

Please substitute the following amended paragraphs [0061] and [0064]-[0066] for paragraphs [0061] and [0064]-[0066] on page 16 and continuing onto page 17, as follows:

[0061] If at step 240, the broker is unable to determine that a license exists on the user's computer, the system then moves to step 254 where the system reads the encrypted file to determine the URL server and electronic content identifier of the encrypted content. Using this information, the system logs in to the server 256, and the process of FIGURES 8 and 9 proceeds from step 218 forward, to generate a license on the user's computer.

[0064] Turning to FIGURE 10, illustrated is a flow diagram 300 which illustrates the process by which the system receives an uploading of content from within the system, as well as content via e-mail, on a CD ROM, floppy disc or other portable memory devices. The various steps in flow diagram 300 which are similar to those of the license/usage flow 200 of FIGURES 8 and 9 are similarly numbered.

[0065] Returning to FIGURE 10, license flow 302 is a generally representative block diagram of the various steps including step 256 and steps 218-232 of FIGURES 8 and 9. Particularly, when the checking of the license step 240 determines that no license exists, the process moves to step 254 where the server URL and electronic content identifier of the encrypted content is determined. The process then moves in a similar manner as described in connection with FIGURE 8.

[0066] The main thrust of FIGURE 10 is the alternative input block 304 where a third-party client may provide an encrypted content 304 into the system. Once received by the system, operation for decrypting and displaying are as previously discussed in connection with FIGURES 8 and 9.

Please substitute the following amended paragraph [0071] for paragraph [0071] on page 18, as follows:

[0071] Rather than scanning the paper document into an electronic format and later specifying usage permissions and/or fees using an electronic interface, these separate processes are combined into a single process by using a machine readable cover sheet encoded with enhanced bar codes. Thus, in FIGURE 11, user (marketmaker) 402 submits the paper documents 404 to a network printer/scanner 410 which scans the electronic paper interface 408 and document 404 into an electronic format. This information is submitted to enhanced barcode server 412, via a communication network 14. One type of enhanced barcode server may be a system known as FlowPort which is a product of Xerox Corporation. When the enhanced barcode server reads the digitized version 414 of paper interface 408, and the digitized version 416 of document 404, the content is appropriately stored in the electronic market by storing the digitized interface subject matter into rights database 418 and the content into merchandise database 420 of the server system hosting electronic market 406.

Please substitute the following amended paragraph [0075] for paragraph [0075] on page 19, as follows:

[0075] Turning to FIGURE 12 illustrated is one embodiment of a paper interface 430 which is exemplary of such materials which may be used in connection with the present invention. In this embodiment, paper interface 430 includes a selection of the marketplace (electronic market) 432. Also provided are a permissions and fees section 434 wherein selection of the particular boxes will set the access permissions and usage permissions for the accompanying paper document which is also being scanned. A cancel box 436 provides for the canceling of previous statements, and a help box 438 returns information on how to further process the paper interface. Barcode 440 identifies the paper interface 430 as one to be included in the system of the electronic markets described previously. It is to be appreciated that a user can create (author) a market by also using the paper interface concepts described.

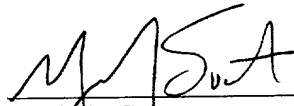
Please substitute the following amended paragraph [0077] for paragraph [0077] on page 20, as follows:

[0077] Turning to FIGURE 13, illustrated is one embodiment of a paper token 450 which may be used to obtain previously stored electronic documents. In this embodiment, the price for a specific document is shown 452, and a icon or representation of the document to be selected is also shown 454. The quantity 456 and method of fulfillment 458 may also be selected. Particularly, the method of fulfillment may be a local copy to a personal computer, an e-mail copy, an internet fax, via postal mail or through Express Mail. The token 450 also includes a machine readable enhanced barcode 460 that uniquely identifies the electronic market, the content in the market, and the token itself for interpretation of the box selections, in addition to having human readable information that identifies the content in the associated market. It is to be appreciated that a paper token according to the concepts of the present description may of course take numerous forms other than the layout described above.

REMARKS

Applicants respectfully request that the foregoing amendments be entered prior to substantive examination of the application. These changes are submitted to place the application in better form for examination.

Respectfully submitted,  
FAY, SHARPE, FAGAN,  
MINNICH & McKEE, LLP

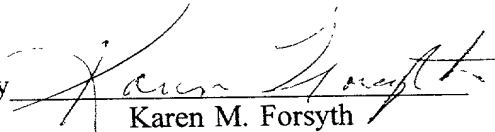


Mark S. Svat  
Reg. No. 34,261  
1100 Superior Avenue, 7th Floor  
Cleveland, Ohio 44114-2518  
(216) 861-5582

Attachment: Version with Markings to Show Changes Made

CERTIFICATE OF MAILING

I hereby certify that this Preliminary Amendment is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner of Patents and Trademarks, Washington, D.C. 20231, on **March 4, 2002**.

By   
Karen M. Forsyth

**VERSION WITH MARKINGS TO SHOW CHANGES MADE**

### In the Specification

Please amend paragraphs [0018]-[0023] on page 4, as follows:

[0018] FIGURES [8A-8B] 8 and 9 depict the license/usage flow in accordance with the present invention;

[0019] FIGURE [9] 10 depicts the usage flow when the electronic content is obtained from within the server network or from a third-party client;

[0020] FIGURE [10] 11 provides a overview for a system which permits the use of paper as an interface to electronic markets with usage permissions, for both specification of usage permissions and for managing usage of content including payment once usage permissions are established;

[0021] FIGURE [11] 12 sets forth a paper interface to an electronic market in accordance with a concept of the present invention; and

[0022] Shown in FIGURE [12] 13 is a token for use in the present system.

Please amend paragraphs [0051]-[0052] on page 13, as follows:

[0051] Once the market has been created, embodiments of the present invention then permit a buyer (*i.e.*, another user of the community) having the appropriate permissions and/or licenses to access the digital content. The operation of the license/usage flow 200 according to an embodiment of the present invention is illustrated in FIGURES [8A-B] 8 and 9.

[0052] As a first step in the process flow of FIGURE[S] 8, a user (buyer) logs onto a server of the present system 202. Once logged on, the user requests access to a market 204. The market will have been created and formed by another user (*i.e.*, marketmaker) of the community of users. The flow of authoring or creating the market was discussed in detail in connection with FIGURE 7. Upon requesting access in step 204, the process moves to a decision step 206. At the decision step, a system server is interrogated to determine whether that user has access permissions for the particular

market requested 206. If it is determined such access permissions do not exist, access will be denied 208. For example, when the user requests access to market A, the server will upload or review a matrix file such as discussed previously in connection with FIGURE 3. If the user is included in the user/group section and has permission to have access to the market, then the process moves to step 210 where each electronic content in that market is checked to determine whether that particular user has access permissions to view the existence of that content. If no access permissions are available for a particular content, then that item will not be displayed 212. However, if access permissions for a particular content does exist, the process displays a representation 214 of that content, such as in the form of an icon.

Please amend paragraph [0054] on page 14, as follows:

[0054] With continued attention to the flow of FIGURES [8A-B] 8 and 9, once an icon 214 is displayed, the user may select the icon by clicking on it with a computer mouse or other input device 216. Selection of the icon in step 216 moves the process to a decision block step 218, where a second check of access permissions for the selected file is again undertaken.

Please amend paragraph [0057] on page 15, as follows:

[0057] Returning to FIGURES [8A-B] 8 and 9, the user is presented with an option to pay the required usage fee 226. Not paying the usage fee ends the process and denies access to the content 228. Upon selection (such as selecting proceed button 82 of FIGURE 5), the fee will be charged 230 to an account of the user. Creating accounts where a user may be charged for purchases, etc. is very well known in the art. This also is simply one embodiment, as alternative embodiments may not show fees, especially in cases where the usage is controlled with no fees.

Please amend paragraphs [0061] and [0064]-[0066] for paragraphs [0061] and [0064]-[0066] on page 16 and continuing onto page 17, as follows:

[0061] If at step 240, the broker is unable to determine that a license exists on the user's computer, the system then moves to step 254 where the system reads the encrypted



file to determine the URL server and electronic content identifier of the encrypted content. Using this information, the system logs in to the server 256, and the process of FIGURES [8A-B] 8 and 9 proceeds from step 218 forward, to generate a license on the user's computer.

[0064] Turning to FIGURE [9] 10, illustrated is a flow diagram 300 which illustrates the process by which the system receives an uploading of content from within the system, as well as content via e-mail, on a CD ROM, floppy disc or other portable memory devices. The various steps in flow diagram 300 which are similar to those of the license/usage flow 200 of FIGURES [8A-B] 8 and 9 are similarly numbered.

[0065] Returning to FIGURE [9] 10, license flow 302 is a generally representative block diagram of the various steps including step 256 and steps 218-232 of FIGURES [8A-B] 8 and 9. Particularly, when the checking of the license step 240 determines that no license exists, the process moves to step 254 where the server URL and electronic content identifier of the encrypted content is determined. The process then moves in a similar manner as described in connection with FIGURE 8.

[0066] The main thrust of FIGURE [9] 10 is the alternative input block 304 where a third-party client may provide an encrypted content 304 into the system. Once received by the system, operation for decrypting and displaying are as previously discussed in connection with FIGURES [8A-B] 8 and 9.

Please amend paragraph [0071] on page 18, as follows:

[0071] Rather than scanning the paper document into an electronic format and later specifying usage permissions and/or fees using an electronic interface, these separate processes are combined into a single process by using a machine readable cover sheet encoded with enhanced bar codes. Thus, in FIGURE [10] 11, user (marketmaker) 402 submits the paper documents 404 to a network printer/scanner 410 which scans the electronic paper interface 408 and document 404 into an electronic format. This information is submitted to enhanced barcode server 412, via a communication network 14. One type of enhanced barcode server may be a system known as FlowPort which is a product of Xerox Corporation. When the enhanced barcode server reads the digitized

version 414 of paper interface 408, and the digitized version 416 of document 404, the content is appropriately stored in the electronic market by storing the digitized interface subject matter into rights database 418 and the content into merchandise database 420 of the server system hosting electronic market 406.

Please amend paragraph [0075] on page 19, as follows:

[0075] Turning to FIGURE [11] 12 illustrated is one embodiment of a paper interface 430 which is exemplary of such materials which may be used in connection with the present invention. In this embodiment, paper interface 430 includes a selection of the marketplace (electronic market) 432. Also provided are a permissions and fees section 434 wherein selection of the particular boxes will set the access permissions and usage permissions for the accompanying paper document which is also being scanned. A cancel box 436 provides for the canceling of previous statements, and a help box 438 returns information on how to further process the paper interface. Barcode 440 identifies the paper interface 430 as one to be included in the system of the electronic markets described previously. It is to be appreciated that a user can create (author) a market by also using the paper interface concepts described.

Please amend paragraph [0077] on page 20, as follows:

[0077] Turning to FIGURE [12] 13, illustrated is one embodiment of a paper token 450 which may be used to obtain previously stored electronic documents. In this embodiment, the price for a specific document is shown 452, and a icon or representation of the document to be selected is also shown 454. The quantity 456 and method of fulfillment 458 may also be selected. Particularly, the method of fulfillment may be a local copy to a personal computer, an e-mail copy, an internet fax, via postal mail or through Express Mail. The token 450 also includes a machine readable enhanced barcode 460 that uniquely identifies the electronic market, the content in the market, and the token itself for interpretation of the box selections, in addition to having human readable information that identifies the content in the associated market. It is to be appreciated that a paper token according to the concepts of the present description may of course take numerous forms other than the layout described above.

PATENT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF : David G. Bell, et al.

TITLE : **SYSTEMS AND METHODS FOR  
DISTRIBUTED ADMINISTRATION OF  
PUBLIC AND PRIVATE ELECTRONIC  
MARKETS**

SERIAL NO. : 10/042,963

FILED : January 9, 2002

EXAMINER : Unknown

ART UNIT : 2131

ATTORNEY DOCKET NO. : D/A1057  
XER 2 0440

**REQUEST FOR AMENDMENT TO DRAWINGS**

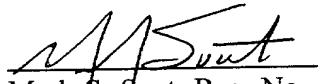
Assistant Commissioner for Patents  
Washington, DC 20231  
**ATTENTION: Official Draftsman**

Dear Sir:

Approval to amend FIGURE 3, 4, 8A, 8B, 9-12 as illustrated in red in the enclosed drawing copies is respectfully requested. A duplicate copy of this request is being submitted to the Official Draftsman.

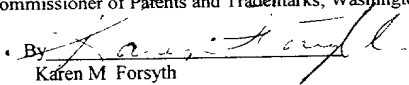
Respectfully submitted,

FAY, SHARPE, FAGAN,  
MINNICH & McKEE, LLP

  
Mark S. Svat, Reg. No. 34,261  
1100 Superior Avenue - Seventh Floor  
Cleveland, OH 44114-2518  
(216) 861-5582

**CERTIFICATE OF MAILING**

I hereby certify that this Request for Amendment to Drawings is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner of Patents and Trademarks, Washington, D C 20231, on March 4, 2002

By   
Karen M. Forsyth

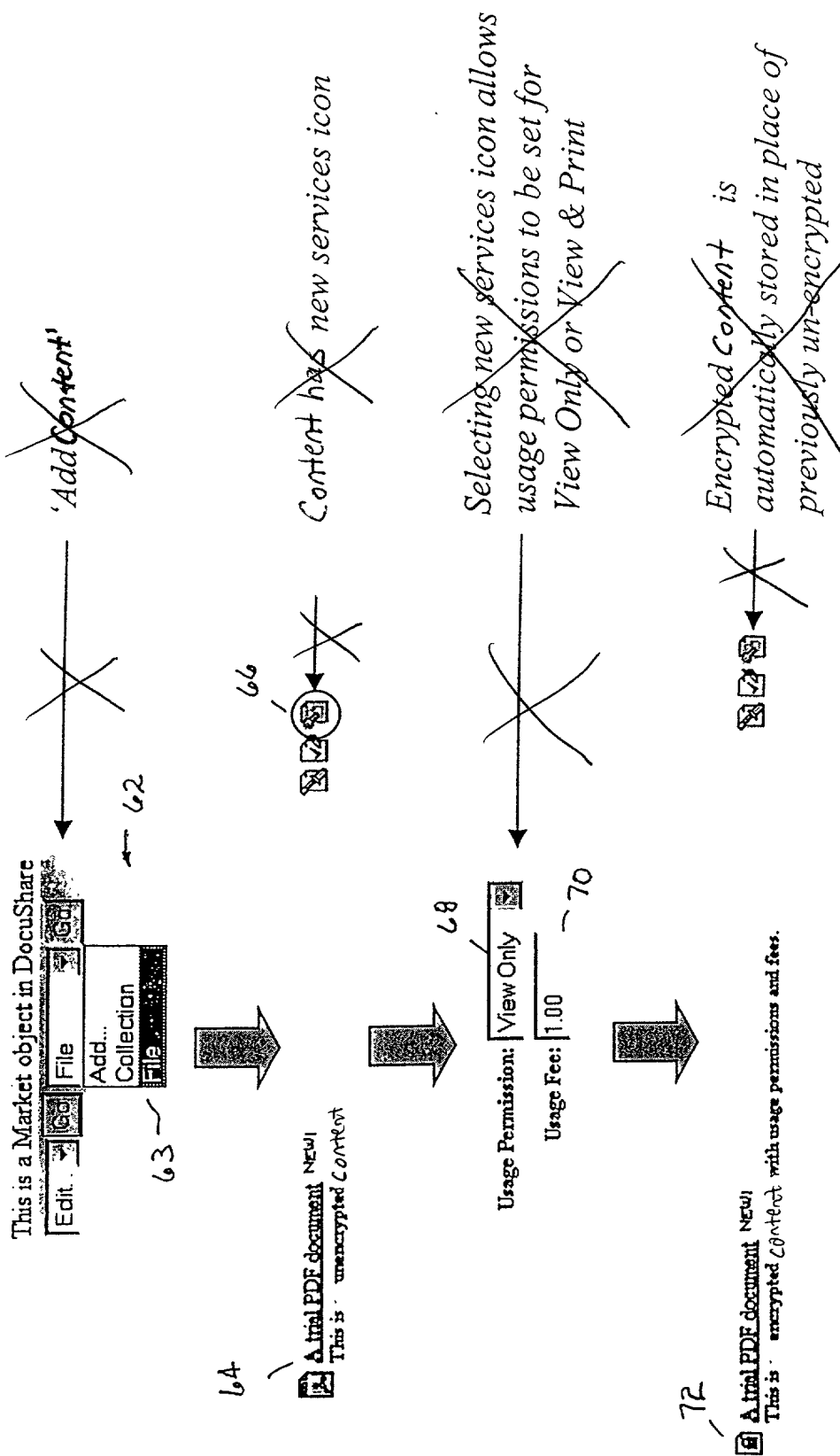


Figure 3

SECRET E352400T

72

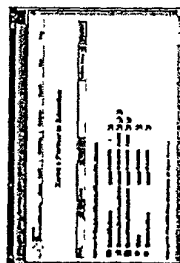
6 A trial PDF document New!

This is encrypted content with usage permissions and fees.

100 02202601 99X



74

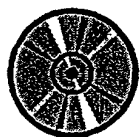


OR



76

OR

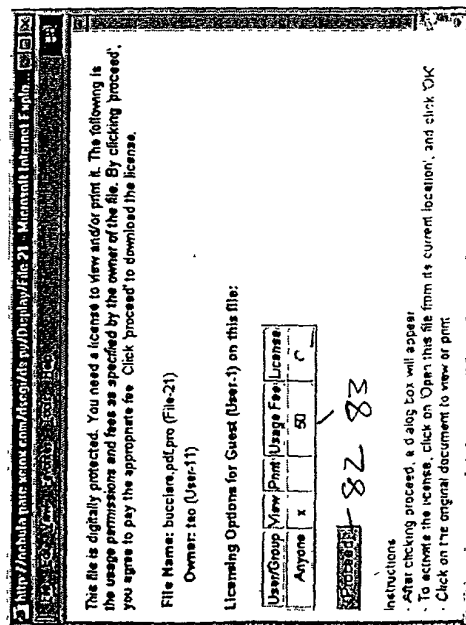


78

Encrypted Content can be selected in a web repository (e.g. DocuShare) e-mailed, distributed through cdrom, ...



80



82 83

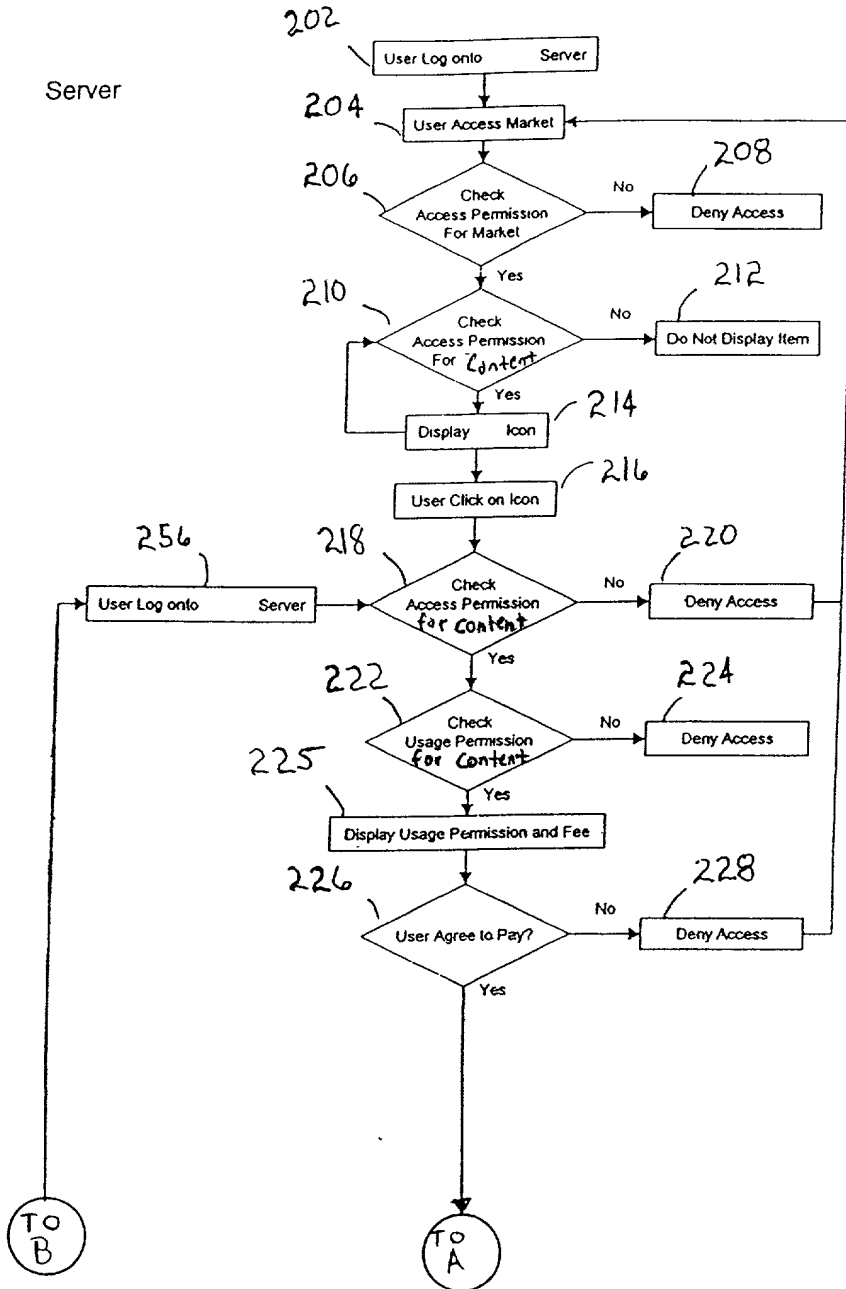
When content is opened, the client software reads the URL of the Permissions server, and connects through the internet to display appropriate options, and obtain permissions to view and/or print

Figure

# License/Usage Flow

200

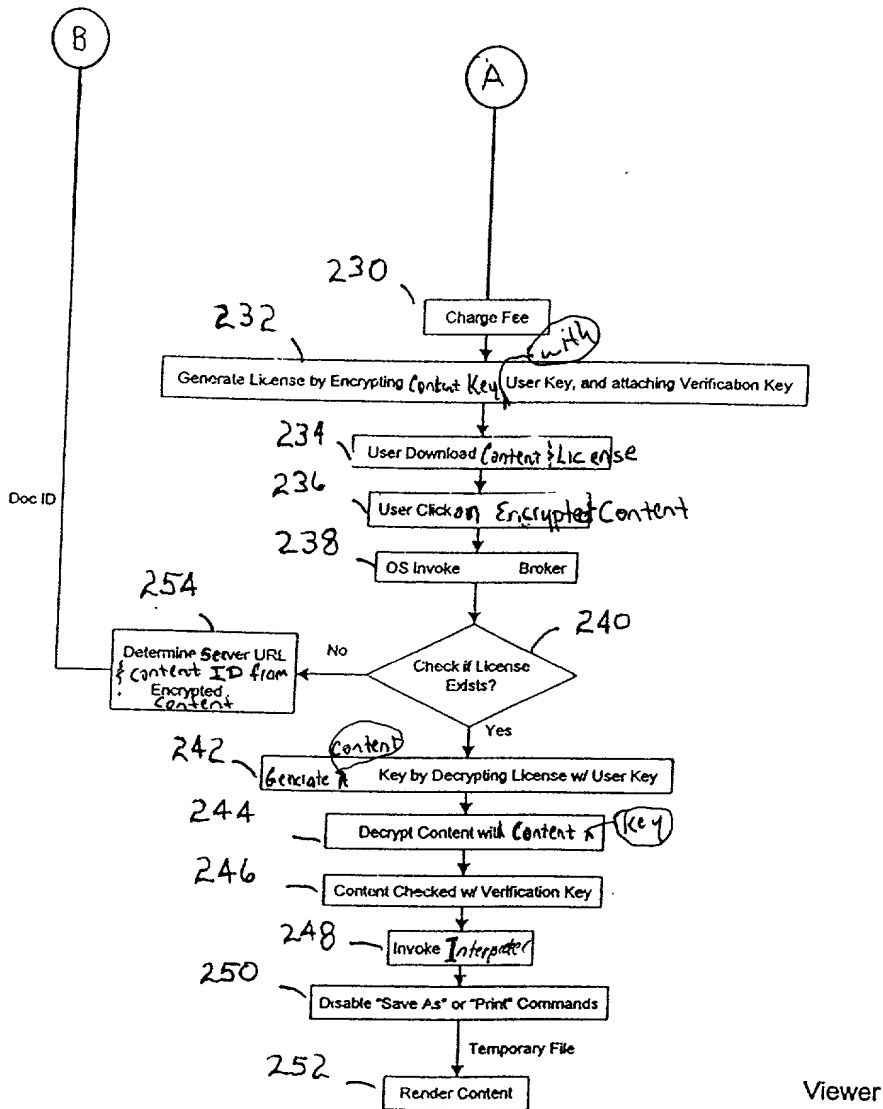
Server



FIGURE

~~8A~~  
8

200



FIGURE

889

300  
↓

# Usage Flow

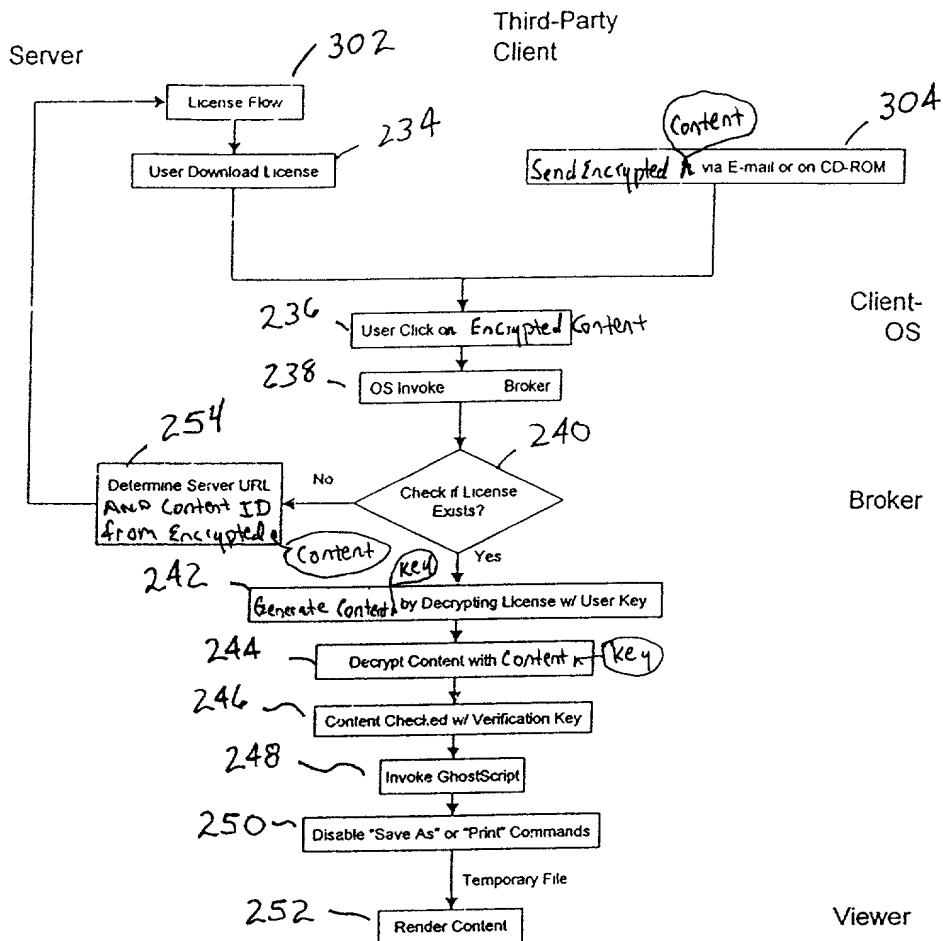


FIGURE 10



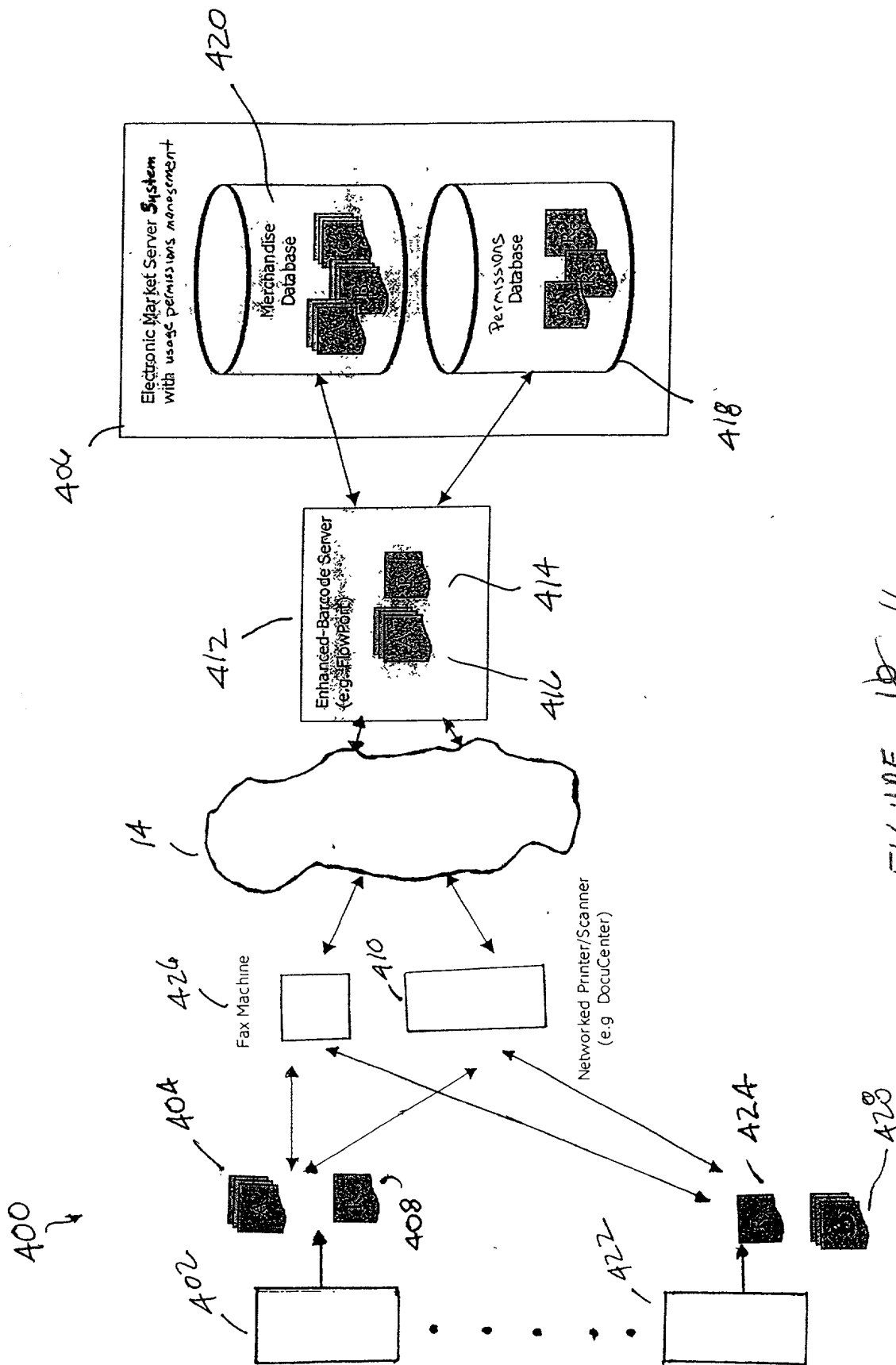


FIGURE 10

Initiating a transaction with a usage permissions server using paper as the user interface / 450

**FlowPort Cover Sheet**  
Put this Cover Sheet in front of your documents

**Paper Interface to Electronic Markets**

Paper token for printing/copying  
Document #1  
in Marketplace #1

Price: \$5.00 each

Quantity:  
1 2 3 4 5 6 7 8 9  
0 0 0 0 0 0 0 0 0

Method of fulfillment  
☐ Local copy  
☐ Email copy  
☐ Internet Fax  
☐ Postal Mail  
☐ Express Mail

Please place personal  
one-use security sticker here

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DIGITAL AGE

W

FlowPort, Cover Sheet, and Paper Interface to Electronic Markets are trademarks of FlowPort, Inc.

FIGURE ~~12~~ 13